

FORM NO. MGT-7

[Pursuant to sub-Section(1) of section 92 of the Companies Act, 2013 and sub-rule (1) of rule 11of the Companies (Management and Administration) Rules, 2014]



सत्यमेव जयते

Annual Return (other than OPCs and Small Companies)

Form language English Hindi

Refer the instruction kit for filing the form.

I. REGISTRATION AND OTHER DETAILS

(i) * Corporate Identification Number (CIN) of the company

L45200MH1939PLC002958

Pre-fill

Global Location Number (GLN) of the company

* Permanent Account Number (PAN) of the company

AAACM3041N

(ii) (a) Name of the company

MODERN SHARES AND STOCKI

(b) Registered office address

WANKHEDE STADIUM NORTH STAND L AND M WINGS D ROAD
CHURCHGATE
MUMBAI
Maharashtra
400020

(c) *e-mail ID of the company

modernshare@hotmail.com

(d) *Telephone number with STD code

02268252400

(e) Website

www.modernshares.com

(iii) Date of Incorporation

01/07/1939

(iv)	Type of the Company	Category of the Company	Sub-category of the Company
	Public Company	Company limited by shares	Indian Non-Government company

(v) Whether company is having share capital

Yes No

(vi) *Whether shares listed on recognized Stock Exchange(s)

Yes No

(a) Details of stock exchanges where shares are listed

S. No.	Stock Exchange Name	Code
1	BSE LIMITED	1

(b) CIN of the Registrar and Transfer Agent

U67190MH1999PTC118368

Pre-fill

Name of the Registrar and Transfer Agent

LINK INTIME INDIA PRIVATE LIMITED

Registered office address of the Registrar and Transfer Agents

C-101, 1st Floor, 247 Park,
Lal Bahadur Shastri Marg, Vikhroli (West)

(vii) *Financial year From date (DD/MM/YYYY) To date (DD/MM/YYYY)

(viii) *Whether Annual general meeting (AGM) held Yes No

(a) If yes, date of AGM

(b) Due date of AGM

(c) Whether any extension for AGM granted

Yes No

(f) Specify the reasons for not holding the same

AGM will be held on September 15, 2023

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

*Number of business activities

S.No	Main Activity group code	Description of Main Activity group	Business Activity Code	Description of Business Activity	% of turnover of the company
1	K	Financial and insurance Service	K7	Financial Advisory, brokerage and Consultancy Services	100

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES (INCLUDING JOINT VENTURES)

*No. of Companies for which information is to be given

Pre-fill All

S.No	Name of the company	CIN / FCRN	Holding/ Subsidiary/Associate/ Joint Venture	% of shares held
1				

IV. SHARE CAPITAL, DEBENTURES AND OTHER SECURITIES OF THE COMPANY

(i) *SHARE CAPITAL

(a) Equity share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Total number of equity shares	6,000,000	2,931,125	2,931,125	2,931,125
Total amount of equity shares (in Rupees)	60,000,000	29,311,250	29,311,250	29,311,250

Number of classes

1

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
EQUITY SHARES				
Number of equity shares	6,000,000	2,931,125	2,931,125	2,931,125
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	60,000,000	29,311,250	29,311,250	29,311,250

(b) Preference share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	0	0	0	0
Total amount of preference shares (in rupees)	0	0	0	0

Number of classes

0

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Number of preference shares				
Nominal value per share (in rupees)				
Total amount of preference shares (in rupees)				

(c) Unclassified share capital

Particulars	Authorised Capital
Total amount of unclassified shares	0

(d) Break-up of paid-up share capital

Class of shares	Number of shares			Total nominal amount	Total Paid-up amount	Total premium
	Physical	DEMAT	Total			
Equity shares						
At the beginning of the year	58,208	2,872,917	2931125	29,311,250	29,311,250	
Increase during the year	0	5,081	5081	0	0	0
i. Public Issues	0	0	0	0	0	0
ii. Rights issue	0	0	0	0	0	0
iii. Bonus issue	0	0	0	0	0	0
iv. Private Placement/ Preferential allotment	0	0	0	0	0	0
v. ESOPs	0	0	0	0	0	0
vi. Sweat equity shares allotted	0	0	0	0	0	0
vii. Conversion of Preference share	0	0	0	0	0	0
viii. Conversion of Debentures	0	0	0	0	0	0
ix. GDRs/ADRs	0	0	0	0	0	
x. Others, specify		5,081	5081			
Shares Dematerialised						
Decrease during the year	5,081	0	5081	0	0	0
i. Buy-back of shares	0	0	0	0	0	0
ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify	5,081		5081			
Shares Dematerialised						
At the end of the year	53,127	2,877,998	2931125	29,311,250	29,311,250	
Preference shares						
At the beginning of the year	0	0	0	0	0	
Increase during the year	0	0	0	0	0	0
i. Issues of shares	0	0	0	0	0	0
ii. Re-issue of forfeited shares	0	0	0	0	0	0

iii. Others, specify						
Decrease during the year	0	0	0	0	0	0
i. Redemption of shares	0	0	0	0	0	0
ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify						
At the end of the year	0	0	0	0	0	

ISIN of the equity shares of the company

INE370A01019

(ii) Details of stock split/consolidation during the year (for each class of shares)

0

Class of shares		(i)	(ii)	(iii)
Before split / Consolidation	Number of shares			
	Face value per share			
After split / Consolidation	Number of shares			
	Face value per share			

(iii) Details of shares/Debentures Transfers since closure date of last financial year (or in the case of the first return at any time since the incorporation of the company) *

Nil

[Details being provided in a CD/Digital Media]

Yes No Not Applicable

Separate sheet attached for details of transfers

Yes No

Note: In case list of transfer exceeds 10, option for submission as a separate sheet attachment or submission in a CD/Digital Media may be shown.

Date of the previous annual general meeting

23/09/2022

Date of registration of transfer (Date Month Year) <input type="text"/>			
Type of transfer	<input type="text"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred	<input type="text"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text"/>
Ledger Folio of Transferor <input type="text"/>			
Transferor's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name
Ledger Folio of Transferee <input type="text"/>			
Transferee's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name

Date of registration of transfer (Date Month Year) <input type="text"/>			
Type of transfer	<input type="text"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred	<input type="text"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text"/>
Ledger Folio of Transferor <input type="text"/>			
Transferor's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name
Ledger Folio of Transferee <input type="text"/>			
Transferee's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name

(iv) *Debentures (Outstanding as at the end of financial year)

Particulars	Number of units	Nominal value per unit	Total value
Non-convertible debentures	0	0	0
Partly convertible debentures	0	0	0
Fully convertible debentures	0	0	0
Total			0

Details of debentures

Class of debentures	Outstanding as at the beginning of the year	Increase during the year	Decrease during the year	Outstanding as at the end of the year
Non-convertible debentures	0	0	0	0
Partly convertible debentures	0	0	0	0
Fully convertible debentures	0	0	0	0

(v) Securities (other than shares and debentures)

0

Type of Securities	Number of Securities	Nominal Value of each Unit	Total Nominal Value	Paid up Value of each Unit	Total Paid up Value
Total					

V. *Turnover and net worth of the company (as defined in the Companies Act, 2013)**(i) Turnover**

29,681,875

(ii) Net worth of the Company

121,320,184

VI. (a) *SHARE HOLDING PATTERN - Promoters

S. No.	Category	Equity		Preference	
		Number of shares	Percentage	Number of shares	Percentage
1.	Individual/Hindu Undivided Family				
	(i) Indian	554,310	18.91	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (other than NRI)	0	0	0	

2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	0	0	0	
4.	Banks	0	0	0	
5.	Financial institutions	0	0	0	
6.	Foreign institutional investors	0	0	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	1,124,675	38.37	0	
10.	Others Shares held by Narendra Advani	455,799	15.55	0	
	Total	2,134,784	72.83	0	0

Total number of shareholders (promoters)

8

(b) *SHARE HOLDING PATTERN - Public/Other than promoters

S. No.	Category	Equity		Preference	
		Number of shares	Percentage	Number of shares	Percentage
1.	Individual/Hindu Undivided Family				
	(i) Indian	534,809	18.25	0	
	(ii) Non-resident Indian (NRI)	213,708	7.29	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government				
	(i) Central Government	5,307	0.18	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	0	0	0	

4.	Banks	0	0	0	
5.	Financial institutions	0	0	0	
6.	Foreign institutional investors	0	0	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	3,979	0.14	0	
10.	Others (IEPF 38488 & Trust 50)	38,538	1.31	0	
	Total	796,341	27.17	0	0

Total number of shareholders (other than promoters)

1,417

**Total number of shareholders (Promoters+Public/
Other than promoters)**

1,425

**VII. *NUMBER OF PROMOTERS, MEMBERS, DEBENTURE HOLDERS
(Details, Promoters, Members (other than promoters), Debenture holders)**

Details	At the beginning of the year	At the end of the year
Promoters	9	8
Members (other than promoters)	1,311	1,417
Debenture holders	0	0

VIII. DETAILS OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

(A) *Composition of Board of Directors

Category	Number of directors at the beginning of the year		Number of directors at the end of the year		Percentage of shares held by directors as at the end of year	
	Executive	Non-executive	Executive	Non-executive	Executive	Non-executive
A. Promoter	1	3	1	3	15.52	16.59
B. Non-Promoter	0	2	0	2	0	0
(i) Non-Independent	0	0	0	0	0	0
(ii) Independent	0	2	0	2	0	0
C. Nominee Directors representing	0	0	0	0	0	0

(i) Banks & FIs	0	0	0	0	0	0
(ii) Investing institutions	0	0	0	0	0	0
(iii) Government	0	0	0	0	0	0
(iv) Small share holders	0	0	0	0	0	0
(v) Others	0	0	0	0	0	0
Total	1	5	1	5	15.52	16.59

Number of Directors and Key managerial personnel (who is not director) as on the financial year end date

8

(B) (i) *Details of directors and Key managerial personnel as on the closure of financial year

Name	DIN/PAN	Designation	Number of equity share(s) held	Date of cessation (after closure of financial year : If any)
ANIL SUGNO MANGHI	00012806	Whole-time director	455,010	
GHANSHAM SHEWAKI	00413343	Director	49,600	
NARENDRA HIRA ADVANI	03351909	Director	436,699	
ROSHAN ADVANI PATIL	00651144	Director	0	
ASHOK TIKAMDAS KUMAR	00463526	Director	0	
PANKAJ RAJNIKANT VADGAONKAR	00207079	Director	50	
RADHAKRISHNA NARAYAN	AAKPS3303G	CFO	1,200	
VIBHA DINESH MEHTA	AWRPM3166A	Company Secretary	0	

(ii) Particulars of change in director(s) and Key managerial personnel during the year

0

Name	DIN/PAN	Designation at the beginning / during the financial year	Date of appointment/ change in designation/ cessation	Nature of change (Appointment/ Change in designation/ Cessation)

IX. MEETINGS OF MEMBERS/CLASS OF MEMBERS/BOARD/COMMITTEES OF THE BOARD OF DIRECTORS

A. MEMBERS/CLASS /REQUISITIONED/NCLT/COURT CONVENED MEETINGS

Number of meetings held

1

Type of meeting	Date of meeting	Total Number of Members entitled to attend meeting	Attendance	
			Number of members attended	% of total shareholding
ANNUAL GENERAL MEETI	23/09/2022	1,411	21	72.36

B. BOARD MEETINGS

*Number of meetings held

4

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	27/05/2022	6	6	100
2	05/08/2022	6	5	83.33
3	11/11/2022	6	5	83.33
4	08/02/2023	6	6	100

C. COMMITTEE MEETINGS

Number of meetings held

11

S. No.	Type of meeting	Date of meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members attended	% of attendance
1	Stakeholder &	26/05/2022	3	2	66.67
2	Nomination &	26/05/2022	3	3	100
3	Audit Committe	27/05/2022	3	3	100
4	Stakeholder &	04/08/2022	3	3	100
5	Audit Committe	05/08/2022	3	3	100
6	Stakeholder &	10/11/2022	3	2	66.67
7	Audit Committe	11/11/2022	3	3	100
8	Stakeholder &	08/02/2023	3	3	100
9	Nomination &	08/02/2023	3	3	100
10	Audit Committe	08/02/2023	3	3	100

D. *ATTENDANCE OF DIRECTORS

S. No.	Name of the director	Board Meetings			Committee Meetings			Whether attended AGM held on
		Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	
1	ANIL SUGNO	4	4	100	4	4	100	
2	GHANSHAM S	4	4	100	4	2	50	
3	NARENDRA H	4	3	75	0	0	0	
4	ROSHAN ADV	4	3	75	2	2	100	
5	ASHOK TIKAM	4	4	100	11	11	100	
6	PANKAJ RAJI	4	4	100	11	11	100	

X. *REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

Nil

Number of Managing Director, Whole-time Directors and/or Manager whose remuneration details to be entered

1

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	ANIL SUGNO MAN	Wholetime Direc	1,080,800	0	0	0	1,080,800
	Total		1,080,800	0	0	0	1,080,800

Number of CEO, CFO and Company secretary whose remuneration details to be entered

2

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	RADHAKRISHNA N	CFO(KMP)	1,008,000	0	0	0	1,008,000
2	VIBHA DINESH ME	Company Secre	228,600	0	0	0	228,600
	Total		1,236,600	0	0	0	1,236,600

Number of other directors whose remuneration details to be entered

5

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	ASHOK TIKAMDAS	IND NON EXEC	0	0	0	57,500	57,500
2	PANKAJ RAJNIKAN	IND NON EXEC	0	0	0	57,500	57,500
3	GHANSHAM SHEV	NON EXECUTIV	0	0	0	35,000	35,000

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
4	NARENDRA HIRA	NON EXECUTIVE	0	0	0	22,500	22,500
5	ROSHAN ADVANI	NON EXECUTIVE	0	0	0	27,500	27,500
	Total		0	0	0	200,000	200,000

XI. MATTERS RELATED TO CERTIFICATION OF COMPLIANCES AND DISCLOSURES

* A. Whether the company has made compliances and disclosures in respect of applicable provisions of the Companies Act, 2013 during the year Yes No

B. If No, give reasons/observations

XII. PENALTY AND PUNISHMENT - DETAILS THEREOF

(A) DETAILS OF PENALTIES / PUNISHMENT IMPOSED ON COMPANY/DIRECTORS /OFFICERS Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which penalised / punished	Details of penalty/ punishment	Details of appeal (if any) including present status

(B) DETAILS OF COMPOUNDING OF OFFENCES Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which offence committed	Particulars of offence	Amount of compounding (in Rupees)

XIII. Whether complete list of shareholders, debenture holders has been enclosed as an attachment

Yes No

(In case of 'No', submit the details separately through the method specified in instruction kit)

XIV. COMPLIANCE OF SUB-SECTION (2) OF SECTION 92, IN CASE OF LISTED COMPANIES

In case of a listed company or a company having paid up share capital of Ten Crore rupees or more or turnover of Fifty Crore rupees or more, details of company secretary in whole time practice certifying the annual return in Form MGT-8.

Name

JANAK A. PANDYA

Whether associate or fellow

Associate Fellow

Certificate of practice number

5940

I/We certify that:

- (a) The return states the facts, as they stood on the date of the closure of the financial year aforesaid correctly and adequately.
- (b) Unless otherwise expressly stated to the contrary elsewhere in this Return, the Company has complied with all the provisions of the Act during the financial year.

Declaration

I am Authorised by the Board of Directors of the company vide resolution no. ... dated

(DD/MM/YYYY) to sign this form and declare that all the requirements of the Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I further declare that:

- 1. Whatever is stated in this form and in the attachments thereto is true, correct and complete and no information material to the subject matter of this form has been suppressed or concealed and is as per the original records maintained by the company.
- 2. All the required attachments have been completely and legibly attached to this form.

Note: Attention is also drawn to the provisions of Section 447, section 448 and 449 of the Companies Act, 2013 which provide for punishment for fraud, punishment for false statement and punishment for false evidence respectively.

To be digitally signed by

Director

DIN of the director

To be digitally signed by

- Company Secretary
- Company secretary in practice

Membership number

Certificate of practice number

Attachments

- 1. List of share holders, debenture holders
- 2. Approval letter for extension of AGM;
- 3. Copy of MGT-8;
- 4. Optional Attachment(s), if any

List of attachments

MSSL_DRAFT_MGT-8_Certificate by PCS
MSSL_Committee Meeting_2022-23_P.pdf
MSSL_List of Shares Transfer_2022-2023.

This eForm has been taken on file maintained by the Registrar of Companies through electronic mode and on the basis of statement of correctness given by the company

Note: This e-form MGT-7 (draft) along with form MGT-8 (draft) placed on the website of the Company in compliance of the Companies (Amendment) Act, 2017, effective August 28, 2020. The e-form MGT-7 shall be filed with Ministry of Corporate Affairs upon the completion of 84th Annual General Meeting of the Company as required under Section 92, of Companies Act, 2013, and the Rules made thereunder and the copy of the same shall be furnished on the website of the Company.

JANAK A. PANDYA
[COMPANY SECRETARY]

1002, PARSHVA SHREYAS, CARTER ROAD NO.9, BORIVALI (EAST), MUMBAI – 400 066.
Phone: 9223482481 Email: janak_jap@yahoo.com

DRAFT

Form No. MGT-8

*[Pursuant to section 92(2) of the Companies Act, 2013 and rule 11(2) of Companies
(Management and Administration) Rules, 2014]*

CERTIFICATE BY A COMPANY SECRETARY IN PRACTICE

I have examined the registers, records and books and papers of **Modern Shares and Stockbrokers Limited (CIN: L45200MH1939PLC002958)** (the Company) having its Registered Office at Wankhede Stadium, North Stand, L and M Wings, D Road, Churchgate Mumbai – 400020, as required to be maintained under the Companies Act, 2013 (the Act) and the rules made thereunder for the financial year ended on **March 31, 2023**. In my opinion and to the best of my information and according to the examinations carried out by me and explanations furnished to me by the company, its officers and agents, I certify that:

A. The Annual Return states the facts as at the close of the aforesaid financial year correctly and adequately.

B. During the aforesaid Financial Year the Company has generally complied with provisions of the Act & Rules made there under in respect of:

1. its status under the Act;
2. Maintenance of registers/records & making entries therein within the time prescribed therefor;
3. Filing of forms and returns as stated in the annual return, with the Registrar of Companies, Regional Director, Central Government, the Tribunal, Court or other authorities within/beyond the prescribed time;
4. Calling/convening/holding meetings of Board of Directors and its committees, and the meetings of the members of the company on due dates as stated in the annual return in respect of which meetings, proper notices were given and the proceedings including the circular resolutions and resolutions passed by postal ballot, if any, have been properly recorded in the Minute Book/registers maintained for the purpose and the same have been signed;
5. Closure of Register of Members / Security holders, as the case may be.
6. As per the information given by the Company, the Company has not made any Advances/loans to its directors and/or persons or firms or companies referred in section 185 of the Act during the financial year;
7. As per information and explanation provide to us, all the related party transactions entered into during the Financial year were on an arm's length basis and were in the ordinary course of business and thus they are in compliance with the provisions of Section 188 of the Act;
8. Issue or allotment or transfer or transmission or buy back of securities/ redemption of preference shares or debentures/ alteration or reduction of share capital/ conversion of shares/ securities and issue of security certificates in all instances;

JANAK A. PANDYA
[COMPANY SECRETARY]

1002, PARSHVA SHREYAS, CARTER ROAD NO.9, BORIVALI (EAST), MUMBAI – 400 066.

Phone: 9223482481 Email: janak_jap@yahoo.com

9. The Company has not kept in abeyance the rights to dividend, rights shares and bonus shares pending registration of transfer of shares during the financial year.
10. Declaration/ payment of dividend; transfer of unpaid/ unclaimed dividend/other amounts as applicable to the Investor Education and Protection Fund in accordance with section 125 of the Act;
11. Signing of audited financial statement as per the provisions of section 134 of the Act and report of directors is as per sub - sections (3), (4) and (5) thereof;
12. Constitution/ appointment/ re-appointments/ retirement/ disclosures of the Directors, Key Managerial Personnel and the remuneration paid to them; There was no casual vacancy in the Board during the year.
13. There was no Appointment/ reappointment under Section 139 of the Act, and there was no casual vacancy of auditors during the year.
14. The Company was not required to take any approval from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act;
15. The Company has not Accepted/ renewed/ repaid any deposits from the public during the financial year.
16. Borrowings from its directors, members, public financial institutions, banks and others and creation/ modification/ satisfaction of charges in that respect, wherever applicable;
17. Loans and investments or guarantees given or providing of securities to other bodies corporate or persons falling under the provisions of Section 186 of the Act during the financial year;
18. The Company has not altered the provisions of the Memorandum and/ or Articles of Association of the Company during the Financial year;

Place: Mumbai
Date:

Signature:

Name of Company Secretary in practice: **CS Janak A. Pandya (M.No.10841)**
(C.P. No.:5940)
Peer Review No. 1250/2021
UDIN:

This certificate is to be read with Annexure which forms an integral part of this certificate.

Note: The qualification, reservation or adverse remarks; if any, may be stated at the relevant place(s).

JANAK A. PANDYA
[COMPANY SECRETARY]

1002, PARSHVA SHREYAS, CARTER ROAD NO.9, BORIVALI (EAST), MUMBAI – 400 066.

Phone: 9223482481 Email: janak_jap@yahoo.com

Annexure

To
Modern Shares and Stockbrokers Limited
CIN: L45200MH1939PLC002958
Wankhede Stadium, North Stand, L and M Wings, D Road,
Churchgate, Mumbai – 400020

My certificate in Form MGT 8 on the Annual Return (MGT-7) as on the financial year ended on March 31, 2023 of even date is to be read along with this letter.

1. Maintenance of secretarial records is the responsibility of the Management of the Company. My responsibility is to express an opinion on these secretarial records based on my audit.
2. I have followed the audit practices and process as were appropriate to obtain reasonable assurance about the correctness of the contents of the secretarial records. The verification was done on test basis to ensure that correct facts are reflected in the Form MGT-7. I believe that the processes and practices, I followed provide a reasonable basis for my opinion.
3. The compliance of the provisions of the Companies Act 2013, rules, regulations, standards is the responsibility of the Management. My examination was limited to the verification of records on test basis.
4. The certificate is issued based on the verification of secretarial records furnished by/obtained from the Company and also the information provided by the Company electronically.

Place: Mumbai
Date:

Signature:

Name of Company Secretary in practice: **CS Janak A. Pandya (M.No.10841)**
(C.P. No.:5940)

Peer Review No. 1250/2021
UDIN:

IX. Meetings of Members/Class of Members/Board/Committees of the Board of Directors**C. Committee Meetings****Number of Meetings held - 11**

S.No.	Type of Meeting	Date of Meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members attended	% of attendance
1.	Stakeholder & Grievance Committee Meeting	26/05/2022	3	2	66.67
2.	Nomination & Remuneration Committee Meeting	26/05/2022	3	3	100
3.	Audit Committee Meeting	27/05/2022	3	3	100
4.	Stakeholder & Grievance Committee Meeting	04/08/2022	3	3	100
5.	Audit Committee Meeting	05/08/2022	3	3	100
6.	Stakeholder & Grievance Committee Meeting	10/11/2022	3	2	66.67
7.	Audit Committee Meeting	11/11/2022	3	3	100
8.	Stakeholder & Grievance Committee Meeting	08/02/2023	3	3	100
9.	Nomination & Remuneration Committee Meeting	08/02/2023	3	3	100
10.	Audit Committee Meeting	08/02/2023	3	3	100
11.	Independent Directors Meeting	08/02/2023	2	2	100

Modern Shares And Stock Brokers Limited

Details of shares/debentures transfers from

		01/04/2022	To	31/03/2023	Closure Date :	31-03-2022		
TRANSFER DATE	TYPE	SH/DB	AMTPERSH	FOLIO	SELLER NAME	FOLIO	BUYER NAME	
23/05/2022	1	100	000010	0D000083	MR DHIRENDRA A PATEL	CD000001	CENTRAL DEPOSITORY S	
28/06/2022	1	50	000010	0P000117	MRS.JASHODA R.PRAJAP	ND000001	NATIONAL SECURITY DE	
20/07/2022	1	840	000010	0S000036	MRS. ASHA SHANKERDAS	ND000001	NATIONAL SECURITY DE	
05/09/2022	1	25	000010	0C000001	MISS DAKSHA VAMANRAO	ND000001	NATIONAL SECURITY DE	
16/09/2022	1	100	000010	0C000023	MRS. ADARSH CHOPRA	IEPF2017	IEPF2017	
16/09/2022	1	50	000010	0D000007	MRS. MANORAMA AKSHAY	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0D000013	MR. NURANI KRISHNAN	IEPF2017	IEPF2017	
16/09/2022	1	4	000010	0A000039	MR. MADHAV SHANKAR A	IEPF2017	IEPF2017	
16/09/2022	1	700	000010	0B000009	MR. DHARAM VIR BATRA	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0B000026	MRS. RAJESHWARI DEVI	IEPF2017	IEPF2017	
16/09/2022	1	300	000010	0M000020	DR. (MRS.) STELLA LO	IEPF2017	IEPF2017	
16/09/2022	1	10	000010	0M000048	MR. ANIL MANEKLAL ME	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0M000103	MRS. SAROJ MISHRA	IEPF2017	IEPF2017	
16/09/2022	1	200	000010	0MH00142	MANJULA SINGH	IEPF2017	IEPF2017	
16/09/2022	1	200	000010	0MHC0200	UMESHCHANDRA J SHUKL	IEPF2017	IEPF2017	
16/09/2022	1	150	000010	0P000039	MRS. RUKMANI DURGADA	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0P000080	MR MAGANBHAI SUKHDEV	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0P000106	MR.RAKESH B.PATEL	IEPF2017	IEPF2017	
16/09/2022	1	700	000010	0R000022	MRS. NEERADHA RAMDEV	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0S000225	MR.POONAWALA KHOZEM	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0S000015	MR. SHRIKANT SHAMRAO	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0S000253	MR.MAHENDRA D. SUBA	IEPF2017	IEPF2017	
16/09/2022	1	100	000010	0W000003	MR. RAVINDRA NATH W.	IEPF2017	IEPF2017	
16/09/2022	1	3314	000010	IEPF2017	Investor Education A	ND000001	NSDL	
22/09/2022	1	100	000010	0W000013	MR. MAHENDRA GIRDHAR	ND000001	NATIONAL SECURITY DE	
22/09/2022	1	50	000010	0G000052	MR MAHENDRA GIRDHARI	ND000001	NATIONAL SECURITY DE	
28/09/2022	1	100	000010	0S000184	MRS MAMTA PARAGBHAI	CD000001	CENTRAL DEPOSITORY S	
20/01/2023	1	200	000010	0R000070	RENEE P HATHIRAMANI	ND000001	NATIONAL SECURITY DE	
24/01/2023	1	300	000010	0S000248	SHAILESH KANAKSINH A	CD000001	CENTRAL DEPOSITORY S	
02/03/2023	1	2	000010	0S000237	MRS.SASHIBALA SHARMA	ND000001	NATIONAL SECURITY DE	